

A.D. 1.6, Monthly and Annual Reports

Prepared for signature 7/1/96 - effective 7/1/96

1. Policy. Each Division, Subdivision and Unit shall submit periodic reports through the chain of command as appropriate, detailing accomplishments, the status of major activities/projects, significant events, staff and inmate morale and any problems, issues or needs.
2. Authority and Reference.
 - A. Connecticut General Statutes, Section 4-60 and 18-81.
 - B. American Correctional Association, Standards for the Administration of Correctional Agencies, June 1979, Standard 89.
 - C. American Correctional Association, Standards for Adult Community Residential Services, Second Edition, August 1980, Standard 2-2014.
 - D. American Correctional Association, Standards for Adult Probation and Parole Field Services, Second Edition, March 1981, Standard 2-3016.
 - E. American Correctional Association, Standards for Adult Correctional Institutions, Third Edition, January 1990, Standard 3-4019.
 - F. American Correctional Association, Standards for Adult Local Detention Facilities, Third Edition, March 1991, Standards 3-ALDF-1A-18 and 3-ALDF-1C-06.
3. Operations Reports. Each Unit Administrator in the Division of Operations shall provide one (1) copy of a monthly report to the Complex Warden or Director of the respective Complex or Subdivision. The Complex Warden and Director shall compile, summarize and forward the data to the Deputy Commissioner of Operations.
 - A. Narrative. At a minimum, each unit report shall contain a narrative by the Unit Administrator outlining:
 1. major projects including activities related to the Unit Administrator's Management Incentive Plan goals;
 2. major incidents;
 3. staff and inmate morale;
 4. developments and problems requiring corrective action; and
 5. other significant data or events.
 - B. Facilities.
 1. inmate disciplinary information;
 2. inmate grievance activity;
 3. staff and inmate assaults;
 4. escapes;
 5. use of force (to include use of chemical agents);
 6. employee overtime;
 7. minutes of labor management meetings;
 8. minutes of staff meetings (minutes of unit meetings to the Complex Warden and minutes of regional meetings to the Deputy Commissioner of Operations); and
 9. furlough activity.
 - C. Community Services.

1. Residential Programs. Information on: existing programs and anticipated program initiatives, and other significant data or events.
2. Community Non-Residential. Information on: existing programs and anticipated program initiatives, and other significant data or events.
3. Audit. Narrative on: audit dates, locations and findings.
4. Community Services Statistical Data.

a. Residential:

- (1) beds authorized by legislature;
- (2) beds contracted by type of treatment, objective and gender;
- (3) beds average daily occupancy;
- (4) cost per bed as contracted and occupied;
- (5) explanation of non-utilization;
- (6) plan of action; and
- (7) other significant data or events.

b. Non-residential:

- (1) description of contracted services;
- (2) slots or services contracted for;
- (3) actual utilization for services provided; and
- (4) other significant data or events.

D. Engineering Services. Information on:

1. projects to include:
 - a. project number;
 - b. estimated cost;
 - c. location;
 - d. status;
 - e. estimated completion date; and
 - f. administered by;
2. capital budget to include:
 - a. projects bonded;
 - b. available capital funding;
3. regulatory activity to include:
 - a. State Fire Marshall;
 - b. OSHA; and
 - c. State Building Inspector;
4. other significant data or events.

E. Fiscal Services. Information on:

1. total authorized positions including location and number;
2. total federally funded positions including location and number;
3. total part time positions including location and number;
4. fiscal status of all cost centers including:

- a. location by:
 - (1) 01-personal services;
 - (2) 02-other expenses; and
 - (3) 05-equipment;
- b. total appropriation;
- c. spending status;
- d. percentum of total expended;
- e. projected balance;
- f. exceptional activities including:
 - (1) location;
 - (2) reason; and
 - (3) corrective measures;

5. audit status including:

- a. previous recommendation update by:
 - (1) location;
 - (2) action; and
 - (3) status;
- b. outstanding audit responses by:
 - (1) location; and
 - (2) completion date;
- c. active audits by:
 - (1) location; and
 - (2) projected completion date; and

6. overtime including:

- a. location;
- b. function; and
- c. number of hours

7. other significant data or events.

4. Programs Reports. Each Unit Administrator in the Division of Programs shall provide one (1) copy of a monthly report to the appropriate Director. The Director shall compile, summarize and forward the data to the Deputy Commissioner of Programs.

- A. Narrative. Each Unit Administrator shall submit a narrative outlining:

- 1. major projects including activities related to the Unit Administrator's goals;
- 2. major incidents or events;
- 3. staff and inmate morale;
- 4. developments and problems requiring corrective action;
- 5. major projects;
- 6. new programs;
- 7. problem areas; and
- 8. other significant data or events.

- B. Offender Classification and Population Management. Information on:

1. number and location of inmates receiving initial classification and reclassification;
2. inmate population management activities including transfers and transportation activities;
3. interstate compact activities;
4. audit activities;
5. special program participation;
6. fiscal status, to include overtime usage and justification; and
7. other significant data or events.

C. Offender Programs.

1. Correctional Industries. Information on:
 - a. employment by industries activity and location;
 - b. planned and actual sales by category and location;
 - c. average daily assignment versus average daily attendance;
 - d. planned or actual program initiatives;
 - e. problem areas; and
 - f. other significant data or events.
2. Religious Services. Information on:
 - a. program initiatives;
 - b. needs assessment;
 - c. contract activity;
 - d. special activity participation;
 - e. problem areas; and
 - f. other significant data or events.
3. Recreational Services. Information on:
 - a. schedule of monthly activities conducted by facility;
 - b. special events by facility;
 - c. needs assessment;
 - d. contract activity;
 - e. new initiatives; and
 - f. other significant data or events.
4. Volunteer Services. Information on:
 - a. registered volunteers by facility;
 - b. volunteer participation by program and location;
 - c. special activities; and
 - d. other significant data or events.

D. Educational Services. Information on:

1. courses by location and name of instructor;
2. program completion by location and category;
3. average daily enrollment versus average daily attendance; and
4. other significant data or events.

E. Human Resources. Information on:

1. total authorized full time permanent positions by:
 - a. location;
 - b. number;
 - c. filled and vacant; and
 - d. funding source;
2. total number of part time and durational positions by:
 - a. location;
 - b. number;
 - c. filled and vacant; and
 - d. funding source;
3. total number of correctional officer positions by:
 - a. location;
 - b. number; and
 - c. filled and vacant;
4. promotions by:
 - a. location;
 - b. title;
 - c. effective date of promotion and date of permanent status;
5. total number of vacancies by:
 - a. location;
 - b. class title; and
 - c. length of opening;
6. grievances by:
 - a. location;
 - b. bargaining unit;
 - c. number; and
 - d. issue and number to date at location;
7. disciplinary action by:
 - a. location;
 - b. bargaining unit;
 - c. action;
 - d. number to date; and
 - e. filings by race and gender;
8. unsatisfactory performance appraisal(s);
9. workers' compensation data by:
 - a. name;
 - b. title;
 - c. location;
 - d. bargaining unit;
 - e. date went out on compensation;

- f. date returned to work;
- g. total number out on compensation by location;
- h. who is still out at end of month;
 - (1) for how long;
 - (2) start date; and
 - (3) rate of pay;

10. recruitment activities by:

- a. vacancy location;
- b. position title(s); and
- c. affirmative action goals;

11. employee return to work activity by:

- a. location; and
- b. number;

12. other significant data or events.

F. Affirmative Action. Information on:

- 1. total agency workforce by race and gender;
- 2. occupational category by race and gender;
- 3. affirmative action goals including:
 - a. location;
 - b. job title; and
 - c. goals attained and not attained;
- 4. grievances or complaints including:
 - a. type;
 - b. location;
 - c. circumstances;
 - d. status;
 - e. bargaining unit;
 - f. number to date at each unit; and
 - g. other significant data or events.

G. Research and Management Information Systems. Information on:

- 1. microcomputer activities and action including:
 - a. location;
 - b. type of request; and
 - c. date of request;
- 2. mainframe requests and action taken including:
 - a. location;
 - b. nature of problem or service need; and
 - c. date of request;
- 3. research requests and action taken including:

- a. source of request;
- b. type of request;
- c. date of request; and
- d. date research completed;

4. program change requests and action taken including:

- a. location;
- b. type of request;
- c. date of request; and
- d. date completed;

5. other significant data or events.

H. Training and Staff Development. Information on:

1. pre-service, to include:

- a. the number of trainees including:
 - (1) race;
 - (2) gender;
 - (3) education level;
 - (4) termination data; and
 - (5) types and amounts of training;

2. in-service management and staff development programs to include:

- a. number of trainees;
- b. types of training;
- c. training hours;
- d. location; and
- e. race and gender.

3. Employee Assistance Program. Information regarding:

- a. number of employees utilizing services by:
 - (1) category;
 - (2) age;
 - (3) race;
 - (4) gender; and
 - (5) location
- b. critical incident stress response activity by:
 - (1) category;
 - (2) age;
 - (3) race;
 - (4) gender; and
 - (5) location
- c. staff utilized for Critical Incident Stress Response Team; and
- d. other significant data or events.

4. Employee Centered Programs. Information on:

- a. wellness program activity by type of program,

- location, participation and cost;
- b. safety committee activity by type, location and participation; and
- c. other significant data or events.

5. other significant data or events.

I. Health Services. The Director shall submit a narrative outlining:

- 1. major projects including activities related to the Management Incentive Plan goals;
- 2. major incidents;
- 3. staff and inmate morale;
- 4. developments and problems requiring corrective action; and
- 5. information and data concerning significant health needs and issues affecting the inmate population.
- 6. statistical data shall include:
 - a. inmate utilization of health services;
 - b. inmate utilization of community based health care services, especially the use of inpatient hospitalization and outpatient services; and
 - c. fiscal status and personnel activity.

6. Report Summary. Each Division Head shall compile and summarize a report of the Division's activities, to include appropriate charts and longitudinal graphs. Other subdivision or unit report material shall be retained by the division head and shall not be submitted to the Commissioner unless requested. The report shall be forwarded to the Commissioner by the 15th of each month or the first business day following the 15th.

7. Annual Reports. Each Division shall submit an annual report, to include appropriate data of its subparts, by July 15 of each year, on the previous fiscal year's accomplishments, new projects and programs initiated, the status of related activities to the respective division and the status of activities related to any Department plan and any issue, problem or need which should be addressed. In addition, the annual report shall contain such statistical information as the Commissioner may require. Each Division shall submit a copy of the annual report to the Director of Communications. The Director of Communications shall publish a Department of Correction annual report by October 15 of each year.

8. Exceptions. Any exception to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.